

jc921 U.S. PTO
10/30/01

Please type a plus sign (+) inside this box →

Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
to respond to a collection of information unless it displays a valid OMB

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.52(b))

Attorney Docket No.

MINSH-001A

First Inventor

BILL MINSHALL ET AL.

Title

ANTI-TUMOR VACCINE

Express Mail Label No.

EL873334545US

10/30/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB17)
2. ☒ Applicant claims small entity status.
3. ☒ Specification [Total Pages 22]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed) 37 CFR 3.73(b)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets]
5. ☒ Oath or Declaration [Total Pages 3]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or C-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission See 37 CFR 1.27 (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies a computer program listing appendix

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:


☐ Continuation
☐ Divisional
☐ Continuation-in-part of prior application No.: _____ / _____
 Prior application information: _____ Examiner _____ Group/Art Unit: _____

Prior application information: Examiner Group/Art Unit:
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label **007663** or Customer address below

Name	MATTHEW A. NEWBOLES				
Address	75 ENTERPRISE, SUITE 250				
City	ALISO VIEJO	State	CA	Zip Code	92656
Country	USA				

Name (Print/Type)	MATTHEW A. NEWBOLES	Registration No. (Attorney/Agent)	36,224
Signature			Date: 10/30/01

† SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231


Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<h1 style="text-align: center;">FEE TRANSMITTAL</h1> <h2 style="text-align: center;">for FY 2002</h2> <p style="text-align: center;">Patent fees are subject to annual revision.</p>		Complete if Known	
		Application Number	Unknown
		Filing Date	Herewith
		First Named Inventor	BILL MINSHALL ET AL.
		Examiner Name	Unknown
TOTAL AMOUNT OF PAYMENT	(\$) 355.00	Group Art Unit	Unknown
		Attorney Docket No.	MINSH-001A

METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																																																												
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <u>19-4330</u></p> <p>Deposit Account Name <u>Stetina Brunda</u></p> <p>x Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p>x Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 400</td><td>216 200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 920</td><td>217 460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,440</td><td>218 720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 1,960</td><td>228 980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>136 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141 1,240</td><td>241 620</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142 1,240</td><td>242 620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 440</td><td>243 220</td><td>Design issue fee</td><td></td></tr> <tr><td>144 600</td><td>244 300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 180</td><td>126 180</td><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>581 40</td><td>5 81 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 710</td><td>246 355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149 710</td><td>249 355</td><td>For each additional invention to be examined</td><td></td></tr> <tr><td>179 710</td><td>279 355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169 900</td><td>169 900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr> <td colspan="2">* Reduced by Basic Filing Fee Paid</td> <td>SUBTOTAL (3)</td> <td>\$ <u>0</u></td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for ex parte reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 400	216 200	Extension for reply within second month		117 920	217 460	Extension for reply within third month		118 1,440	218 720	Extension for reply within fourth month		128 1,960	228 980	Extension for reply within fifth month		119 310	219 155	Notice of Appeal		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		136 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive-unavoidable		141 1,240	241 620	Petition to revive-unintentional		142 1,240	242 620	Utility issue fee (or reissue)		143 440	243 220	Design issue fee		144 600	244 300	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 180	126 180	Submission of Information Disclosure Statement		581 40	5 81 40	Recording each patent assignment per property (times number of properties)		146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		149 710	249 355	For each additional invention to be examined		179 710	279 355	Request for Continued Examination (RCE)		169 900	169 900	Request for expedited examination of a design application		Other fee (specify) _____				* Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	\$ <u>0</u>
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																										
105 130	205 65	Surcharge - late filing fee or oath																																																																																																																											
127 50	227 25	Surcharge - late provisional filing fee or cover sheet																																																																																																																											
139 130	139 130	Non-English specification																																																																																																																											
147 2,520	147 2,520	For filing a request for ex parte reexamination																																																																																																																											
112 920*	112 920*	Requesting publication of SIR prior to Examiner action																																																																																																																											
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action																																																																																																																											
115 110	215 55	Extension for reply within first month																																																																																																																											
116 400	216 200	Extension for reply within second month																																																																																																																											
117 920	217 460	Extension for reply within third month																																																																																																																											
118 1,440	218 720	Extension for reply within fourth month																																																																																																																											
128 1,960	228 980	Extension for reply within fifth month																																																																																																																											
119 310	219 155	Notice of Appeal																																																																																																																											
120 310	220 155	Filing a brief in support of an appeal																																																																																																																											
121 270	221 135	Request for oral hearing																																																																																																																											
136 1,510	138 1,510	Petition to institute a public use proceeding																																																																																																																											
140 110	240 55	Petition to revive-unavoidable																																																																																																																											
141 1,240	241 620	Petition to revive-unintentional																																																																																																																											
142 1,240	242 620	Utility issue fee (or reissue)																																																																																																																											
143 440	243 220	Design issue fee																																																																																																																											
144 600	244 300	Plant issue fee																																																																																																																											
122 130	122 130	Petitions to the Commissioner																																																																																																																											
123 50	123 50	Petitions related to provisional applications																																																																																																																											
126 180	126 180	Submission of Information Disclosure Statement																																																																																																																											
581 40	5 81 40	Recording each patent assignment per property (times number of properties)																																																																																																																											
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																											
149 710	249 355	For each additional invention to be examined																																																																																																																											
179 710	279 355	Request for Continued Examination (RCE)																																																																																																																											
169 900	169 900	Request for expedited examination of a design application																																																																																																																											
Other fee (specify) _____																																																																																																																													
* Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	\$ <u>0</u>																																																																																																																										
<p>FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101 740</td><td>201 370</td><td>Utility Filing fee</td><td>355.00</td></tr> <tr><td>106 330</td><td>206 165</td><td>Design Filing fee</td><td></td></tr> <tr><td>107 510</td><td>207 255</td><td>Plant Filing fee</td><td></td></tr> <tr><td>108 740</td><td>208 370</td><td>Reissue Filing fee</td><td></td></tr> <tr><td>114 160</td><td>214 85</td><td>Provisional Filing fee</td><td></td></tr> <tr><td colspan="3">SUBTOTAL (1)</td><td>\$ <u>355.00</u></td></tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1"> <thead> <tr> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims - 20** = _____ X _____ = _____</td> <td></td> <td></td> </tr> <tr> <td>Independent Claims - 3 = _____ X _____ = _____</td> <td></td> <td></td> </tr> <tr> <td>Multiple Dependent _____ = _____</td> <td></td> <td></td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103 18</td><td>203 9</td><td>Claims in excess of 20</td></tr> <tr><td>102 84</td><td>202 42</td><td>Independent claims in excess of 3</td></tr> <tr><td>104 280</td><td>204 140</td><td></td></tr> <tr><td>109 80</td><td>209 40</td><td></td></tr> <tr><td>110 18</td><td>210 9</td><td></td></tr> <tr><td colspan="3">SUBTOTAL (2)</td><td>\$ <u>0</u></td></tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see above</p>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 740	201 370	Utility Filing fee	355.00	106 330	206 165	Design Filing fee		107 510	207 255	Plant Filing fee		108 740	208 370	Reissue Filing fee		114 160	214 85	Provisional Filing fee		SUBTOTAL (1)			\$ <u>355.00</u>	Extra Claims	Fee from below	Fee Paid	Total Claims - 20** = _____ X _____ = _____			Independent Claims - 3 = _____ X _____ = _____			Multiple Dependent _____ = _____			Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	103 18	203 9	Claims in excess of 20	102 84	202 42	Independent claims in excess of 3	104 280	204 140		109 80	209 40		110 18	210 9		SUBTOTAL (2)			\$ <u>0</u>																																																															
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																										
101 740	201 370	Utility Filing fee	355.00																																																																																																																										
106 330	206 165	Design Filing fee																																																																																																																											
107 510	207 255	Plant Filing fee																																																																																																																											
108 740	208 370	Reissue Filing fee																																																																																																																											
114 160	214 85	Provisional Filing fee																																																																																																																											
SUBTOTAL (1)			\$ <u>355.00</u>																																																																																																																										
Extra Claims	Fee from below	Fee Paid																																																																																																																											
Total Claims - 20** = _____ X _____ = _____																																																																																																																													
Independent Claims - 3 = _____ X _____ = _____																																																																																																																													
Multiple Dependent _____ = _____																																																																																																																													
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description																																																																																																																											
103 18	203 9	Claims in excess of 20																																																																																																																											
102 84	202 42	Independent claims in excess of 3																																																																																																																											
104 280	204 140																																																																																																																												
109 80	209 40																																																																																																																												
110 18	210 9																																																																																																																												
SUBTOTAL (2)			\$ <u>0</u>																																																																																																																										

SUBMITTED BY:

Complete (if applicable)

Name (Print/Type)	MATTHEW A. NEWBOLES	Registration No. (Attorney/Agent)	36,224	Telephone	(949) 855-1246
Signature				Date	10/30/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231

DOCKET NO.: MINSH-001A

CERTIFICATE OF MAILING
UNDER 37 CFR 1.8 OR 37 CFR 1.10

- ☐ I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:
- ☒ I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, Express Mail No. EL873334545US on the date indicated below and is addressed to:

NEW BOX APPLICATION
ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

on October 30, 2001.
(Date)


Signature

MICHELLE SCHROEDER

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Utility Transmittal;
2. Fee Transmittal;
3. Application (22 Pages);
4. Declaration (3 Pages);
5. POA Form;
6. Check for \$355.00;
7. Certificate of Mailing; and
8. Return Receipt Postcard.